Schedule Number: N1-474-96-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/10/2021

ACTIVE ITEMS
These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

ALL ITEMS EXCEPT THE ONES LISTED BELOW ARE ACTIVE.

SUPERSEDED AND OBSOLETE ITEMS
The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

ITEM 2 WAS SUPERSEDED BY N1-474-12-006
ITEM 3 WAS SUPERSEDED BY N1-474-12-005
ITEM 4 WAS SUPERSEDED BY N1-474-12-004
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on Reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA)
WASHINGTON, DC 20408

1. FROM (Agency or Establishment)
FEDERAL RETIREMENT THRIFT INVESTMENT BOARD

2. MAJOR SUBDIVISION
OFFICE OF ADMINISTRATION

3. MINOR SUBDIVISION
SON INVESTMENTS

4. NAME OF PERSON WITH WHOM TO CONFER
GRACE W. BUTLER

5. TELEPHONE
(202) 942-1683

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 3 pages(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

X is not required; □ is attached; or □ has been requested.

DATE
8/29/96

SIGNATURE OF AGENCY REPRESENTATIVE
John J. Coates

TITLE
Records Management Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
See Attachment.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

All changes to this proposed schedule have been approved by:

[Signature] NARA appraiser

[Signature] Agency representative

[Date]

[Date]

115-109

NSN 7540-00-634-4064

STANDARD FORM 115 (REV. 3-91)
PREVIOUS EDITION NOT USABLE

OCT 27 1997

Copy to: Agency

NARA

36 CFR 1228

9-27-97

Plefllr

OCT 27 1997

PREVIOUS EDITION NOT USABLE
Background Information

The Thrift Savings Plan (TSP) is a retirement savings and investment plan for Federal employees established in the Federal Employees' Retirement System Act of 1986, which has been codified as amended largely at 5 U.S.C. §§ 8401-8479 (1994). It is managed by the Federal Retirement Thrift Investment Board (FRTIB).

The following disposition schedule relates to the records maintained by the FRTIB's Office of Investments (OI). OI is responsible for all functions concerned with the planning, development, and implementation of investment and interfund transfer policy for TSP monies in three separate funds (G, C, and F Funds). OI is responsible for providing investment advice with respect to all investment planning and policy matters impacting on TSP programs and operations, monitoring the investment of funds, and serving as the main point of contact for the asset manager in its relations with the Board. It also assists in procuring the asset manager.

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Description of Item and Proposed Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Reports and other documentation relating to FRTIB Fund Investments</td>
</tr>
<tr>
<td></td>
<td>a. Paper copies.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Cut off at the end of each calendar year. Destroy upon verification of microfilm.</td>
</tr>
<tr>
<td></td>
<td>b. Microfilm copies.</td>
</tr>
<tr>
<td></td>
<td>Disposition: Cut off at the end of each calendar year. Destroy 30 years after cutoff or when no longer needed for administrative purposes, whichever is sooner.</td>
</tr>
</tbody>
</table>

Investment and Interfund Policy Records

All background papers, including internal memoranda and decision documents, concerning the development and approval of investment and interfund transfer policy.

Disposition: Cut off files at the end of the calendar year. Destroy 30 years after cutoff.
3. **Investment Subject Matter Files**

All working papers produced by the Office of Investments, including internal memoranda, reports, decision documents, etc. maintained by subject matter.

**Disposition:** Purge annually. Destroy when 3 years old.

4. **Investment Performance Reports (Quarterly and Monthly)**

Summary reports containing information on investment performance for the G-E and G Funds. The monthly report is submitted to the Executive Director and the quarterly report is submitted to the Board.

- **Office of Investments' copy.**
  
  **Disposition:** Cut off at the end of the calendar year. Destroy 10 years after cutoff.

- **Executive Director's copy.**
  
  **Disposition:** Cut off at the end of the calendar year. Destroy 3 years after cutoff.

- **Other copies maintained as reference files by other FRTIB offices.**
  
  **Disposition:** Cut off at the end of the calendar year. Destroy 1 year after cutoff or when no longer needed for reference, whichever is sooner.

5. **Exception Processing (Interfund Transfers/Lost Earnings)**

Case files on interfund transfers and lost earnings that were handled outside routine procedures. They include the initial incoming correspondence, Board letter to participant, instructions to NFC on how to handle the account, background documentation, and any other related material.

**Disposition:** Cut off closed cases at the end of the calendar year. Destroy 7 years after cutoff.
6. **Correspondence Reading File**

Copies of all internal and external correspondence and memoranda in chronological order that are sent from the Office of Investments. This file duplicates copies that are located in other files.

**Disposition:** Cut off at the end of the calendar year. Destroy 1 year after cutoff.

7. **Call Sheets**

Records that document the content of telephone conversations that OI staff has with participants concerning investments, interfund transfers, and lost earnings.

**Disposition:** Cut off files at the end of the calendar year. Destroy 1 year after cutoff.